

## Electronic Acknowledgement Receipt

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|---|---|
| <b>EFS ID:</b>                              | 2567098   |
| <b>Application Number:</b>                  | 10627873  |
| <b>International Application Number:</b>    |   |
| <b>Confirmation Number:</b>                 | 3618  |
| <b>Title of Invention:</b>                  | Method and apparatus for enabling individual or smaller investors or others to create and manage a portfolio of securities or other assets or liabilities on a cost effective basis |
| <b>First Named Inventor/Applicant Name:</b> | Steven M.H. Wallman   |
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| <b>Filer:</b>                               | B. Delano Jordan/Pamela Abachiche   |
| <b>Filer Authorized By:</b>                 | B. Delano Jordan  |
| <b>Attorney Docket Number:</b>              | 10392/460041  |
| <b>Receipt Date:</b>                        | 10-DEC-2007   |
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| <b>Application Type:</b>                    | Utility under 35 USC 111(a)   |

### Payment information:

|  |                 |
|--|-----------------|
| Submitted with Payment                   | yes             |
| Payment Type                             | Deposit Account |
| Payment was successfully received in RAM | \$ 60           |

| RAM confirmation Number   |  | 8163  |  |                  |                  |
|---|--|---|--|------------------|------------------|
| Deposit Account   |  | 110600  |  |                  |                  |
| Authorized User   |  |   |  |                  |                  |
| The Director of the USPTO is hereby authorized to charge indicated fees and credit any overpayment as follows:<br>Charge any Additional Fees required under 37 C.F.R. Section 1.21 (Miscellaneous fees and charges) |  |   |  |                  |                  |
| <b>File Listing:</b>  |  |   |  |                  |                  |
| Document Number   | Document Description                                       | File Name   | File Size(Bytes) /Message Digest                   | Multi Part /.zip | Pages (if appl.) |
| 1   |  | PetitiontoExtendTimetoResponseandResponsetoOA.pdf | 97798<br>dca27daf67cbfd6cb978d8d67f01170b7b1f11ac6 | yes              | 10               |
|   | <b>Multipart Description/PDF files in .zip description</b> |   |  |                  |                  |
|   | <b>Document Description</b>                                |   | <b>Start</b>                                       | <b>End</b>       |                  |
|   | Amendment - After Non-Final Rejection                      |   | 1  | 1                |                  |
|   | Specification  |   | 2  | 3                |                  |
|   | Claims   |   | 4  | 5                |                  |
|   | Applicant Arguments/Remarks Made in an Amendment           |   | 6  | 8                |                  |
|   | Miscellaneous Incoming Letter                              |   | 9  | 9                |                  |
|   | Abstract   |   | 10   | 10               |                  |
| <b>Warnings:</b>  |  |   |  |                  |                  |
| <b>Information:</b>   |  |   |  |                  |                  |
| 2   | Fee Worksheet (PTO-06)                                     | fee-info.pdf                                      | 8243<br>dd39f1bec23fbbf6ea9a74b385d25734f76cf4ffa  | no               | 2                |
| <b>Warnings:</b>  |  |   |  |                  |                  |
| <b>Information:</b>   |  |   |  |                  |                  |
| <b>Total Files Size (in bytes):</b>   |  |   | 106041   |                  |                  |

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**New Applications Under 35 U.S.C. 111**

If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.

**National Stage of an International Application under 35 U.S.C. 371**

If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.

**New International Application Filed with the USPTO as a Receiving Office**

If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.